



DEPARTMENT OF THE NAVY

NAVAL FACILITIES ENGINEERING COMMAND
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IN REPLY REFER TO

NAVFACINST 5040.1
FAC IG
1 October 2001

NAVFAC INSTRUCTION 5040.1

From: Commander, Naval Facilities Engineering Command

Subj: NAVAL FACILITIES ENGINEERING COMMAND SELF-ASSESSMENT
AND ON-SITE INSPECTION PROGRAM

Ref: (a) SECNAVINST 5040.3A
(b) NAVFACNOTE 5040

Encl: (1) Navy Core Elements and NAVFACENGCOM Technical Compliance
Elements Self-Assessment Area Matrix
(2) Sample Implementation Status Report, OPNAV Form 5040/2 (11/68)

1. Purpose: To implement reference (a), assign responsibility and prescribe procedures for conducting Naval Facilities Engineering Command (NAVFACENGCOM) Self-Assessment and On-Site Inspection Program.

2. Cancellation: NAVFACINST 5042.5G. This is a complete revision of the basic instruction and should be reviewed in its entirety.

3. Background:

a. Reference (a) establishes objectives and policies, as well as assigning responsibility for command self-assessments and inspections conducted by an outside authority (OA); and assigns commands the responsibility for using self-assessment processes for their own organization, and oversight responsibility for organizations for which they exercise OA inspection authority.

b. The NAVFACENGCOM Inspector General's mission includes the specific functions of implementing a Command-wide self-assessment program and conducting and coordinating on-site inspections of its subordinate activities. The NAVFACENGCOM Inspector General serves as the single point of contact for all inspections and follow-up matters within this Command.

c. NAVFACENGCOM maintains a central Navy Public Works Center (PWC) management organization to meet the requirement for uniform business and financial management of PWCs, which operate under the Navy Working Capital Fund (NWCF). Command and control of PWCs is assigned to the immediate superior's in command (ISIC's), however, COMNAVFACENGCOM is responsible for evaluating its "technical commander" compliance elements, provided at enclosure (1).

4. Command Self-Assessment:

a. SECNAV has identified self-assessment as the preferred method of inspection to promote responsibility and accountability within the command. The NAVFACENGCOM command self-assessment process has three phases; (1) the command conducts a self-assessment; (2) an on-site inspection validates the command's self-assessment; and (3) the command takes action based upon the results of both their command self-assessment and on-site inspection validation. The command should begin their self-assessment within 90 days following the change of command by reviewing their current business/strategic plan in conjunction with their most recent client and employee surveys. The command's self-assessment report should be completed and forwarded along with the command's business/strategic plan to the NAVFACENGCOM Inspector General 30 days prior to the scheduled on-site inspection.

b. The command's self-assessment should evaluate its effectiveness in carrying out its mission, and identify performance process improvements. For each self-assessment area that the command provides, validation of the self-assessment will suffice in lieu of an in depth review by the inspector. For each self-assessment area that the command provides a "third-party" assessment conducted by an outside entity, i.e. NAVIG Oversight Inspection Unit-NOIU; Law Enforcement and Physical Security (LEPS) Assistance Team, etc. an on-site inspection of that area will consist of a review of the progress being made on the "third-party" recommendations. In the event the command receives an accreditation by a professional organization, that accreditation will replace the command's self-assessment.

5. On-Site Inspection:

a. In alignment with SECNAV guidance, the OA on-site inspection shall evaluate the inspected command's performance based on its self-assessment or accreditation from a recognized professional peer association. Preparation for the OA on-site inspection shall place emphasis on information derived from the command's self-assessment/accreditation. The command's performance shall be evaluated in conjunction with Navy core elements and NAVFACENGCOM technical compliance elements and shall include a validation of the self-assessment/accreditation process, using only information derived from existing information systems, performance measures, metrics and routine reports. These evaluated elements shall be benchmarked against the NAVFACENGCOM Strategic Plan. Navy core elements and NAVFACENGCOM technical compliance elements self-assessment areas are shown at enclosure (1).

b. NAVFACNOTE 5040, reference (b), is issued annually and lists all NAVFACENGCOM Components on-site inspection schedules except Reserve Components, which are published separately. The objective is to validate a command's performance at least once during the first 12-18 months of each commander's/commanding officer's tour of duty. The schedule is designed to permit efficient use of personnel and travel resources by aligning the on-site inspections with other Immediate Superiors in Command (ISIC) and OA inspections, (e.g. Major Claimant, Regional Commander and NAVIG) to the maximum extent possible.

6. Action:

a. The Commander, NAVFACENGCOM shall conduct periodic OA on-site inspections of Echelon 3 direct reporting component commands and Echelon 4 indirect reporting components (PWCs) as scheduled by reference (b). Minimum NAVFACENGCOM Headquarters on-site participation or augmentation of OA inspections of PWCs shall include personnel from the Headquarters PWC management organization, in order to meet the requirement for assessing the business operations and financial management of PWCs.

b. The Commanders of Pacific Division, Atlantic Division, Southwest Division, and Southern Division, Naval Facilities Engineering Command shall conduct periodic OA on-site inspections of their subordinate commands to validate the self-assessment process as required by reference (a), and scheduled by reference (b).

c. All NAVFACENGCOM component commands shall begin their self-assessment within 90 days following the change of command to be completed not later than 30 days prior to their on-site inspection.

d. For augmentation of NAVINSGEN on-site inspections/area visits; NAVFACENGCOM on-site inspections, and ISIC on-site inspections of PWCs; NAVFACENGCOM Headquarters and subordinate command civilian and military personnel may be assigned temporary duty as required by reference (a). Travel and per diem costs shall be provided by the augmentee's command. For other OA inspections NAVFACENGCOM personnel that are requested to participate may also be assigned temporary duty; however, travel and per diem cost shall be provided by the requesting command per reference (a).

e. During the course of an on-site inspection, any evidence of fraud, waste, inefficiency or related improprieties, including sexual harassment, prohibited discrimination or fraternization shall immediately be brought to the attention of the Inspector General (Chief Inspector) without further investigation.

7. Reports and Forms:

a. On-site inspection reports provide commanders and commanding officers with mission-relevant evaluations and recommendations that are timely, accurate, candid and objective; and are used to recognize, commend, and disseminate "best practices" throughout the claimancy. For all formal recommendations commands are required to complete initial Implementation Status Reports (ISRs), Form 5040/2 (11/68), enclosure (2), providing the status of action taken on formal recommendations every 90 days until completed. Implementation of informal recommendations is at the command's discretion and no response is required. Commitments do not require a response because they are an agreement made between an inspector and the inspected command's counterpart to immediately act on a recommendation. If the action on a commitment is not completed before the report is published (usually within 30 days) it will become a formal recommendation.

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b. A copy of OA on-site inspection reports shall be provided to the NAVFACENGCOM Inspector General within 90 days after completion of the inspection. Abstracts of "best practices" will be published by the NAVFACENGCOM Inspector General.

c. On-site inspection reports shall be marked FOR OFFICIAL USE ONLY and include the following statement, "The information contained herein relates to the internal practices of the Department of the Navy and is an internal communication within the Navy Department. THIS REPORT IS NOT RELEASABLE without the specific approval of (inspecting authority). Its contents may not be disclosed outside original distribution, nor may it be reproduced in whole or in part. All requests for this report, extracts therefrom, or correspondence related thereto shall be referred to (inspecting authority)."



R. MELLO
Inspector General

Distribution: (2 copies each)

SNDL: 21A1, 21A2, 23A2, A2A NAVINSGEN, E7A, FA24, FA46, FB28, FB50, FKA1A, FKA1B, FKA1F, FKAIG, FF69, FKN1, FKN2, FKN3, FKN7, FKN11, FT1, FT31, FT104

NAVFAC Internal List 1

**Navy Core Elements and NAVFAC Technical Compliance Elements
Self-Assessment Area Matrix**

ECHELON 3 and 4 COMMAND to be INSPECTED		EFD	EFA/ OICC	ESC	CBC/ NFI	NCC	PWC (Technical)
		Self-Assessment Areas to be inspected (x)					
Navy Core Elements	Mission Performance (Client Interviews)	x	x	x	x	x	PWC Business Lines (2)
	NAVFAC Business Lines (1)	Contingency Engineering	x		x	x(3)	Engineering
		Environmental	x		x		Environmental
		Housing	x				Maintenance
		Real Estate and BRAC	x				Utilities
		Base Development and Planning	x		x		Transportation
		Capital Improvements	x	x	x		
		Base Operations Support	x	x	x		x
	Command Climate (Focus Groups)	x	x	x	x	x	
		Community Management	x	x	x	x	x
		Civilian Personnel Management	x	x	x	x	
		Military Personnel Programs	x	x	x	x	
	Leadership and Ethics	x	x	x	x	x	
		Ethics in Government	x	x	x	x	x
		Investigations and Inspections	x	x	x	x	
		Command Evaluation	x	x	x	x	x
		Public Affairs	x	x	x	x	
	Force Protection and Security	x	x	x	x	x	
	Resources	x	x	x	x	x	
		Financial Management	x	x	x	x	
		Navy Working Capital Fund			x		x
		Information Technology	x	x	x	x	x
		Administrative Services	x	x	x	x	
NAVFAC Technical Compliance Elements	Acquisition (Contractor Interviews)	x					
		Small Business	x	x	x	x	
		Contracts	x	x	x	x	
	NAVOSH and Construction Safety	x	x	x	x	x	x
	Environmental Quality Ashore	x	x	x			x
	Energy Conservation & Utility Management	x	x	x			x
	Weight Handling Equipment Certification			x		x	x
	Dive Locker Operations			x			x(4)
	Naval Reserve Unit Utilization & Readiness (5)	x			x		

- Notes: (1) Not all EFDs/EFAs/OICCs have the same NAVFAC Business Lines
 (2) Typical PWC Business Lines (Not all PWCs have the same Business Lines)
 (3) Includes Navy War Reserve Materiel (WRM) stored at CBC Gulfport
 (4) Only PWCs with a Dive Locker and NFESC
 (5) Commands with Reserve Component Commands

IMPLEMENTATION STATUS REPORT

OPNAV FORM 5040/2 (11-68)

OPNAV REPORT 5040-1

STATUS AS OF (DATE)

REPORTED BY (ACTION OP/BUREAU/COMMAND)

ACTION OFFICER (NAME AND EXTENSION)

COORDINATING ACTION (OP/BUREAU/COMMAND)

IDENTIFICATION OF REPORT (NAVJSGEN/COMMAND INSPECTION/AUDIT/AREA COORDINATION. INCLUDE SERIAL AND DATE.)

IDENTIFICATION OF ACTION ITEM (RECOMMENDATION NUMBER/PARAGRAPH NUMBER)

RECOMMENDATION:

CURRENT IMPLEMENTATION STATUS (IF ACTION CONSIDERED COMPLETE, SO STATE.)

NEXT STEP IN IMPLEMENTING THE REQUIRED ACTION (INCLUDE ESTIMATED DATE OF COMPLETED ACTION).